

Attorney Docket No. 83042

2 April 2007

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: ERNEST A. MARVIN III ET AL Group Art Unit: 3692
Serial No.: 10/006,733 Examiner: T. Harbeck
Filed: 31 October 2001 Customer No. 23523
For: BUSINESS DEVELOPMENT PROCESS

Declaration Under Rule 131(a)

Dear Sir:

Ernest A. Marvin III, Brian M. Hodor, and Joseph M. Monti, the applicants in the above-identified patent application, declare as follows:

1. Ernest A. Marvin III, Brian M. Hodor and Joseph M. Monti of the Naval Undersea Warfare Center, Division Newport, Surface Undersea Warfare Division conceived of a business development process in March 2000. From March 2000 to September 2000, the process was adapted and benchmarked for business needs at the Surface Undersea Warfare Department of the Naval Undersea Warfare Center, Division Newport (NUWC DIVNPT). The process was tested during this period. Spreadsheets for following the process were prepared during this period. The process was delivered to the Business Development Group of NUWC DIVNPT in August 2000.
2. An internal informational package concerning the process was prepared 1 November 2000. A publicly releasable technical report, Marvin III et al., "Surface Undersea Warfare Department Business Development Process", NUWC-AP-11272, was prepared covering this invention and submitted for publication on 11 November 2000. This draft report is provided as attachment A. The actual publication date is 1 March 2001.
3. The invention disclosed in this publication is a business development process utilizing a business development database comprises collecting data for ideas from a plurality of sources. One type of collected idea data from the step of collecting is filtered in order to identify potential business opportunities. An opportunity analysis is then performed on said identified potential business opportunities to determine valid business opportunities. Resources are committed to the valid business opportunities, a business proposal is developed. This developed

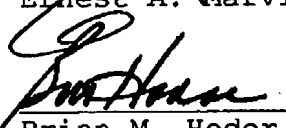
business proposal to a potential buyers. Success of the submission is determined and the business opportunity is executed if the submission is a success.

4. The NUWCDIVNPT Office of Counsel received an invention disclosure covering the process on 22 February 2001. This disclosure is provided as attachment B.

5. The Declarants further state that the above statements were made with the knowledge that willful false statements and the like are punishable by fine and/or imprisonment, or both, under Section 1001 of Title 18 of the United States Code, and that any such willful false statement may jeopardize the validity of this application or any patent resulting therefrom.


Ernest A. Marvin III

2 APRIL 07
Date


Brian M. Hodor

02 APRIL 07
Date


Joseph M. Monti

4 APRIL 07
Date

RECORD AND DISCLOSURE OF INVENTION

DEPARTMENT OF THE NAVY
OFFICE OF NAVAL RESEARCH
ARLINGTON, VA 22217

INSTRUCTIONS: A Navy inventor or an employee of a Navy contractor should use this form when submitting an invention disclosure to the Department of the Navy. Original and two copies should be printed or typed and forwarded to the Navy Patent representative in the area or directly to the Office of Naval Research at the above address. When space on form is inadequate, enter "see attached page", identify item by number and use plain pages as needed. When completely executed, this form becomes an important legal document useful in proving priority of invention.

FOR USE BY NAVY PATENT ACTIVITY	
PATENT ACTIVITY (name)	NAVY CASE NO.
NUWC	83042
DATE DISCLOSURE RECEIVED	LOCAL CASE NO.
22 Feb 01	

PART I. RECORD OF INVENTION

1. INVENTOR(S)	ADDRESS	POSITION/TITLE	EMPLOYEE (Activity & Code No., or Company & address)
Ernest A. Marvin III Brian Hodor Joseph M. Monti	Norwich, CT Wickford, RI Johnston, RI	Computer Scientist General Engineer Head, Code 31B	NUWCDIVNPT, Code 31B NUWCDIVNPT, Code 3131 NUWCDIVNPT, Code 31B

2. DESCRIPTIVE TITLE OF INVENTION (Disclosure details of invention in Part II on reverse)

Business Development Process- A process for assessing new business ideas, identifying risk and reward, opportunity analysis, developing proposals and submitting to either new or existing customers.
BD Process Software- EXCEL spreadsheets used for opportunity analysis and the assessment of risk and reward.

RECOMMENDED SECURITY CLASSIFICATION AND AUTHORITY ON INVENTION DISCLOSURE

UNCLASSIFIED

3. CONCEPTION, INITIAL RECORDS AND RESULTS OF FIRST MODEL

a. EARLIEST DATE AND PLACE INVENTION WAS CONCEIVED (Identify persons and records too support date and place)

The process was initially designed in March 2000. A period of 6 months was used to fully adapt the process and benchmark for our business needs. The software spreadsheets were completed in April 2000. A meeting was held with the Business Development group in August 2000 to introduce the process. The Department Head was Briefed in August and accepted the process Department wide. The entire Department was briefed on the process from 15 October 2001 to 9 November 2001.

b. DATE AND PRESENT LOCATION OF FIRST SKETCH, DRAWING OR PHOTO AND FIRST WRITTEN DESCRIPTION (Such as notebook entries, etc.)

The initial formal description of the process was documented in an information package dated 1 November 2000. A copy of the information package is attached.

c. DATE AND PLACE OF COMPLETION OF FIRST OPERATING MODEL OR FULL SIZE DEVICE AND ITS PRESENT LOCATION

The initial operating model was completed at NUWCDIVNPT in March 2000. The software is held in configuration management in Room 412, Building 1320 at NUWCDIVNPT.

d. DATE AND PLACE OF FIRST TEST OR OPERATION AND THE RESULTS (Give name and address of witnesses, and present location of records)

The first testing was performed during the benchmarking period from April 2000 thru September 2000. A number of new business ideas were evaluated using the process and resulted in successful opportunities.

4. OTHER RECORDS (Notebook entries, descriptions, reports, drawings, etc.)

IDENTIFICATION	DATE OF DOCUMENT	PRESENT LOCATION
OpportunityProposalDevelopmentProcess.ppt	10/12/00	NUWCDIVNPT, Bldg 3120, Rm 412
Tool12_ScreeningProcessTemplate.xls	10/12/00	NUWCDIVNPT, Bldg 3120, Rm 412
Tool3_31BTasker.doc	10/10/00	NUWCDIVNPT, Bldg 3120, Rm 412
Tool4_Capture Plan.ppt	10/10/00	NUWCDIVNPT, Bldg 3120, Rm 412
ScreeningProcessTemplate.xls	9/22/00	NUWCDIVNPT, Bldg 3120, Rm 412
BD Process Presentation	2/7/00	NUWCDIVNPT, Bldg 3120, Rm 412
BD Process Presentation	11/1/00	NUWCDIVNPT, Bldg 3120, Rm 412
BD Process report.doc	11/11/00	NUWCDIVNPT, Bldg 3120, Rm 412

5. INDIVIDUALS TO WHOM INVENTION WAS DISCLOSED		DATE DISCLOSED	TYPE (Oral or written disclosure)
NAME	ACTIVITY OR COMPANY INDIVIDUAL REPRESENTS	11/00	Oral/Written
NUWC Code 31 Personnel			

NAVONR 5870/35 (Rev 5-83)

6. DATE AND PLACE OF OTHER TESTS OR OPERATIONS, AND THE RESULTS (List name and address of witnesses and identify present location of records)

Human Centered Laboratory Analysis, 4/18/00

ROAST Analysis, 4/19/00

FFG Upgrade Program Analysis, 7/7/00

Navy after Next Analysis, 4/18/00

Benchmarking Analysis, 4/4/00

Broadband Hull Sonar Analysis, 11/1/00

NCTC Analysis, 11/17/00

CTDCL Analysis, 12/19/00

Battlespace Analysis, 4/17/00

CONAD Analysis, 4/18/00

Data Mining Analysis, 9/13/00

Element Recorder Analysis, 6/2/00

Multimedia Trainer Analysis, 8/15/00

SURTASS Software Port Analysis, 9/13/00

7. IDENTIFY ANY PAST, PRESENT OR CONTEMPLATED USE, SALE, OR PUBLICATION OF THE INVENTION

None

8. CLOSELY RELATED PATENTS, PATENT APPLICATIONS AND PUBLICATIONS

PATENT OR APPLICATION NO. AND DATE	TITLE OF PUBLISHED ARTICLE	PUBLICATION NAME AND DATE

PART II. DISCLOSURE OF INVENTION

Describe the invention fully and completely, using the outline given below. Sketches, prints, photos, and other illustrations should be attached to this disclosure. Use additional plain pages as needed to complete this disclosure.

- GENERAL PURPOSE.** State in general terms the purpose and objects of the invention.
- BACKGROUND.** Describe the old methods, materials or apparatus used to perform the objects of the invention and give their limitations and disadvantages.
- DESCRIPTION AND OPERATION.** Describe clearly and completely the construction of the invention and give a detailed description of its operation and use. In the description, use reference characters to refer to components in attached illustrations.
- ADVANTAGES AND NEW FEATURES.** State the advantages of the invention over the old methods described in paragraph #2 above, and the features believed to be new.
- ALTERNATIVES.** Indicate any alternative methods, materials or constructions of the invention.
- CONTRIBUTIONS BY INVENTORS.** If this is a joint invention, indicate what contribution was made by each inventor.
- EXECUTION OF DISCLOSURE.** The end of the disclosure should be signed and dated by the inventor(s). The disclosure should then be read and understood by two technically qualified witnesses. Under inventor(s) signatures, enter the statement: "Disclosed to and understood by me on (date)." The two witnesses should sign under this statement.

1-7 See attached sheets

1. GENERAL PURPOSE

The process allows innovators to pursue ideas, and determine the opportunities that have presented themselves. This promotes more innovation, as engineers can better understand where their ideas go and how they are developed. Additionally, this process assesses the risks and rewards, compares that assessment to a baseline of proven successful opportunities, and provides insight to what the next step should be. This invites more effective strategic planning, commitment of resources, and overall planning.

2. BACKGROUND

For a number of years a sound business development process has been required so that decisions could be made easier while pursuing new work. With changing times, funding has become more difficult to obtain and the competition for the funding has increased dramatically. With numerous of ideas and limited resources, it was felt that a business development process was necessary to identify which ideas were worth pursuing. The strategic planning and business development office has worked for nine months developing and refining a process for our current and future business needs. The process was benchmarked and tested for nearly three months. The Surface Undersea Warfare Department, Code 31, has adopted the process as a standard for all new business development.

3. DESCRIPTION AND OPERATION

A detailed description of the process and associated software tools is sighted in:

Surface Undersea Warfare Department Business Development Process, V1.0, NUWC-NPT Technical Document

4. ADVANTAGES AND NEW FEATURES

The process allows innovators to pursue ideas, and determine whether the opportunities are real and worth investing. The process allows NUWC to better commit resources and efforts this leads to a much better return on investment due to efficient resource allocation. This invites more effective strategic planning, commitment of resources, and overall planning.

5. ALTERNATIVES

None known of

6. CONTRIBUTIONS BY INVENTORS

Ernest A. Marvin, III, Code 31B, Designed the Process and software tools, wrote the description document

Brian Hodor, Code 3131, Designed the Process and software tools, reviewer of the description document

Joseph Monti, Code 31B, Designed the process, benchmarked process, reviewer of the description document

7. EXECUTION OF DISCLOSURE

Inventor:


Ernest A. Marvin III

2/7/01
DATE

Inventor:


Brian M. Hodor

2/7/01
DATE

Inventor:


Joseph M. Monti

2/7/01
DATE

Witness:


SIGNATURE

2/7/01
DATE

Witness:


SIGNATURE

FEB 7, 2001
DATE

DRAFT

NUWC-NPT Technical Report
11 November 2000

Copy ___ of ___

Surface Undersea Warfare Department Business Development Process, V1.0

Ernest A. Marvin III
Surface Undersea Warfare Department
Strategic Planning and Development Office



**Naval Undersea Warfare Center Division
Newport, Rhode Island**

Approved for public release; distribution is unlimited.

Attachment A

ABSTRACT

In these times of limited funding and dramatically increased competition for that funding, it became necessary to establish a sound business development process that would identify which ideas are worth pursuing. The Strategic Planning and Business Development Office (SPDO) (Code 31B) at the Naval Undersea Warfare Center (NUWC) Division Newport has spent nine months developing and refining the business development process in light of government's current and future needs. The process, which was benchmarked and tested for nearly three months, has been adopted by the Surface Undersea Warfare Department (Code 31) as a standard for all new business development.

ADMINISTRATIVE INFORMATION

This report was prepared in support of the Strategic Planning and Development Office (Code 31B), J. Monti, Head.

The author is the chief systems engineer for the Strategic Planning and Development Office in the Surface Undersea Warfare Department at the Naval Undersea Warfare Center and is located at Division Newport in Newport, Rhode Island.

ACKNOWLEDGMENTS

The author would like to thank Mr. Brian Hodor for his assistance in assembling, testing, and benchmarking the opportunity analysis and risk/reward tools and his review of this report. He would also like to thank Mr. Joseph Monti for his direction, support, and assistance in developing this process.

The author would also like to thank Morgan Group LLC and MIT, especially Mr. Leslie Gray III, and Strategic Marketing & Analysis, Inc for the background information they provided in preparing this process.

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INTRODUCTION

The Strategic Planning and Business Development Office (SPDO) (Code 31B) at the Naval Undersea Warfare Center (NUWC) Division Newport has spent nine months developing and refining the business development process in light of government's current and future needs. The process, which was benchmarked and tested for nearly three months, has been adopted by the Surface Undersea Warfare Department (Code 31) as a standard for all new business development. This step-by-step process promotes innovation by allowing the "owner" of an idea to better understand where the idea goes and how it is developed. It also invites more effective strategic planning, commitment of resources, and overall planning because it assesses the risks and rewards, compares that assessment to a baseline of proven successful opportunities, and helps determine the next step.

THE PROCESS

The business development process consists of seven major steps: (1) Filter, (2) Opportunity Identification, (3) Commit Resources, (4) Develop Proposal, (5) Submittal, (6) Success, and (7) Execute. These steps bring an idea from initial identification through project execution. An idea can come from one of three sources: a formal proposal data call, an employee, or from an internal or external request. The request can be either from an existing customer or a new customer. Figure 1 is a flow diagram of the business development process.

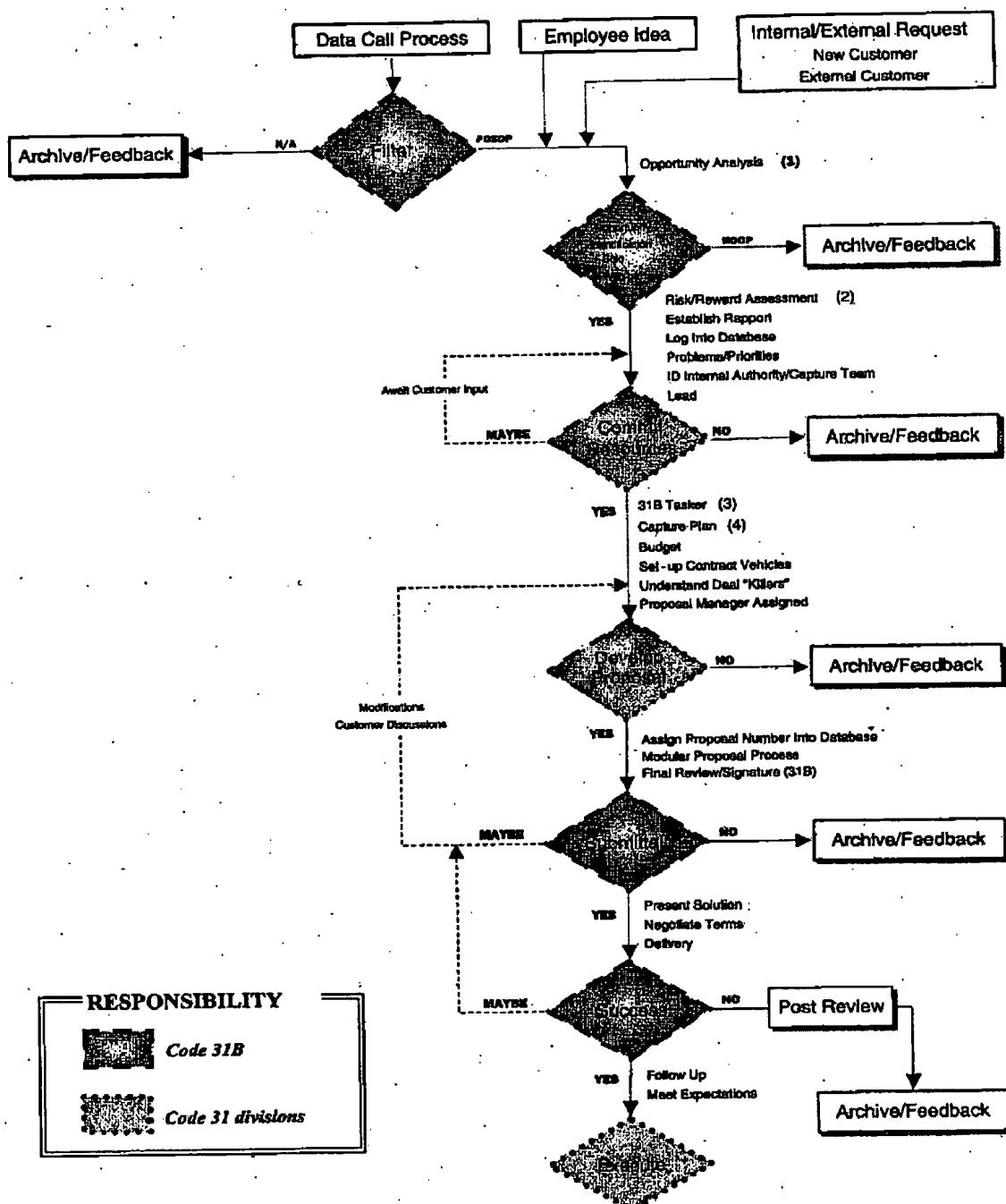


Figure 1. Surface Undersea Warfare Department Business Development Process

STEP 1. FILTER

An idea that comes from a formal data call needs to be filtered before moving to the next step. Filtering helps to identify the division and/or personnel that can respond to the data call. This filtering process, Step 1, is shown in figure 2.

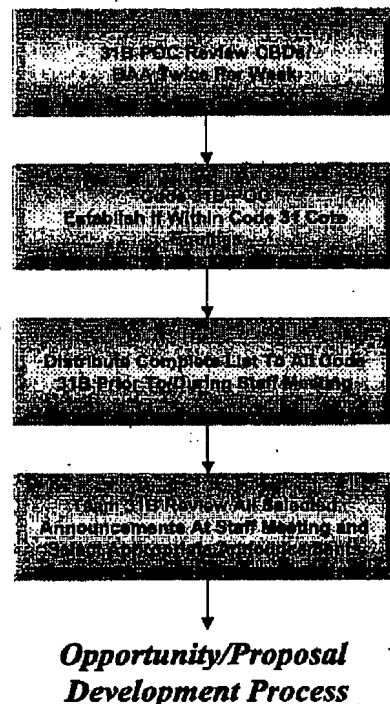


Figure 2. Data Call Filter Diagram

A designated point of contact (POC) will review the Commerce Business Daily (CBD) and Broad Agency Announcement (BAA) calls twice weekly for possible opportunities. A second individual will determine if a data call is within the Code 31 core equities. A complete list of announcements that fall within the code's core equities will be distributed to the business development team for review at a weekly SPDO staff meeting. The team will select those announcements that will move to the next step in the development process. Ideas that are not recommended for continuation are archived for potential review at a later date.

At this point, those ideas that continue in the process undergo an opportunity analysis to determine whether the idea is an opportunity. The analysis tool, Tool 1, is an electronic spreadsheet that grades the strengths and weaknesses of an idea to determine if it is an opportunity. Five areas are analyzed:

- The market
- Economics
- Competitive advantage
- The team
- Potential flaws.

Each area is represented by an excel worksheet in the file *Tool12screening process.xls*. The coversheet contains a summary of information from the individual worksheets and user data. (Copies of the worksheets and an example coversheet are presented in Appendix A.) The originator fills in the coversheet with the idea name, the originator's name, a brief description of the idea, and any external team members involved in this analysis. An idea can be entered in the process with or without team members to determine if an opportunity exists or if there is value added. The originator then proceeds to the five worksheets, one for each of the areas to be analyzed. The originator is directed to enter a "1" in the assessment column beside each attribute where the attractiveness exists. The space is to be left blank if the assessment factor is not clear or is questionable. The column total will automatically appear on the bottom row and in the appropriate box on the coversheet. Once the five worksheets are completed, an overall score will appear on the coversheet. Interpretation (??) of that score is depicted in table 1.

Table 1. Idea vs. Opportunity

Overall Value	Outcome
Opportunity value >> Idea value	Possible Opportunity
Idea value >> Opportunity value	Idea only
Opportunity value = Idea value	Possible Opportunity
Opportunity value > Idea value	Possible opportunity
Idea value > Opportunity value	Requires additional information to become a possible opportunity

Note: >> = Much larger value
> = Slightly larger value

STEP 2. OPPORTUNITY IDENTIFICATION

In Step 2, Opportunity Identification, the idea is determined to be either an opportunity or no opportunity (NOOP). If the idea is determined to be NOOP, it is archived and feedback is provided to the originator. If the idea is determined to be an opportunity, then a number of tasks need to be performed.

The Risk/Reward Assessment, Tool 2, is an excel worksheet found in the file *Tool12screening process.xls*; a sample is presented in Appendix A. The worksheet is divided into two sections, one for risk assessment and one for reward assessment. For risk assessment, a number between 0 (high risk) and 1 (low risk), in increments of one-tenth, is entered for each risk factor. The risk factors are:

- New Product
- New Customer
- Cooperative Existing Customer
- Team
- Time to Meet Milestones/Deliverables
- Funding Limited
- Customer Pain
- Internal Process.

The numbers are multiplicative; therefore, assigning a 0 to a factor will put the total risk at 0. ?? Table 2 indicates the assigned thresholds for risk assessment based on the total risk calculated.

Table 2. Risk Assessment

Total Risk Threshold	Assessment	Action
0-.002	Too High Risk	Do Not Do It
.002-.02	High Risk	Talk to the Customer
.02-.2	Tough, but doable	Move ahead
.2-1	Low Risk	Move ahead

The data from the worksheet are tallied and entered in the appropriate area of the coversheet.

For the reward assessment, a 1 (low reward), 2 (moderate reward), or 3 (high reward), in increments of whole integers, is assigned to each of the following reward factors:

- Sustains/Grows Core Equity
- Addresses Critical Need
- New Business Development
- Competitive Advantage
- Increases Market Share
- Increases Professional Reputation.

The reward assessment is a process that is evaluated against prior departmental projects that have been benchmarked based on their success. Table 3 indicates the thresholds for reward assessment based on the total reward calculated.

Table 3. Reward Assessment

Total Reward Threshold	Assessment	Action
.3-.55	Low Reward	Probably do not do it; however, review risk, talk to customer, and determine future work
.55-.8	Moderate Reward	Move ahead based on risk analysis
.8-1	High Reward	Move ahead based on risk analysis

At this point, a potential customer must be identified, and discussions should begin with that customer to establish a rapport. It is important to work with this customer in a proactive, not reactive, way. At this early stage, a presentation should be avoided unless, of course, the customer desires a briefing. This opportunity is entered in the business development database for tracking and balanced scorecard assessment. A capture team is identified and a lead, usually the originator, is assigned.

STEP 3. COMMIT RESOURCES

The decision to commit resources, Step 3, is jointly determined by Code 31B and the appropriate division. If the decision is not to commit resources, relevant information is added to the business development database and feedback is provided to the capture team (originator). If the decision is to commit resources, Code 31B will provide a Code 31B task sheet (Tool-3) to the appropriate division requesting support. (An example of the task sheet is provided in Appendix B.) Prior to receiving the task sheet, discussions will have taken place in the division to determine staffing, funding, and any other issues. The task sheet is never supplied to the division without prior notice. At this time, the capture plan is filled out. (A copy is presented in Appendix C.) The capture plan can be viewed as a workbook, where the applicable information is self-explanatory. When completed, this plan provides an information package to assist in the development of a proposal and for archival reference concerning the opportunity.

STEP 4. DEVELOP PROPOSAL

If a decision is made to forego the development of a proposal, the information gathered to date is entered in the database and appropriate feedback is provided to the capture team. If a decision is made to develop a proposal, Step 4 begins with the assignment of a proposal number, which is entered in the business development database. Selected personnel in Code 31B and the division will write the proposal. The guide for a modular proposal process is shown in figure 3. Final review is conducted by Code 31B.

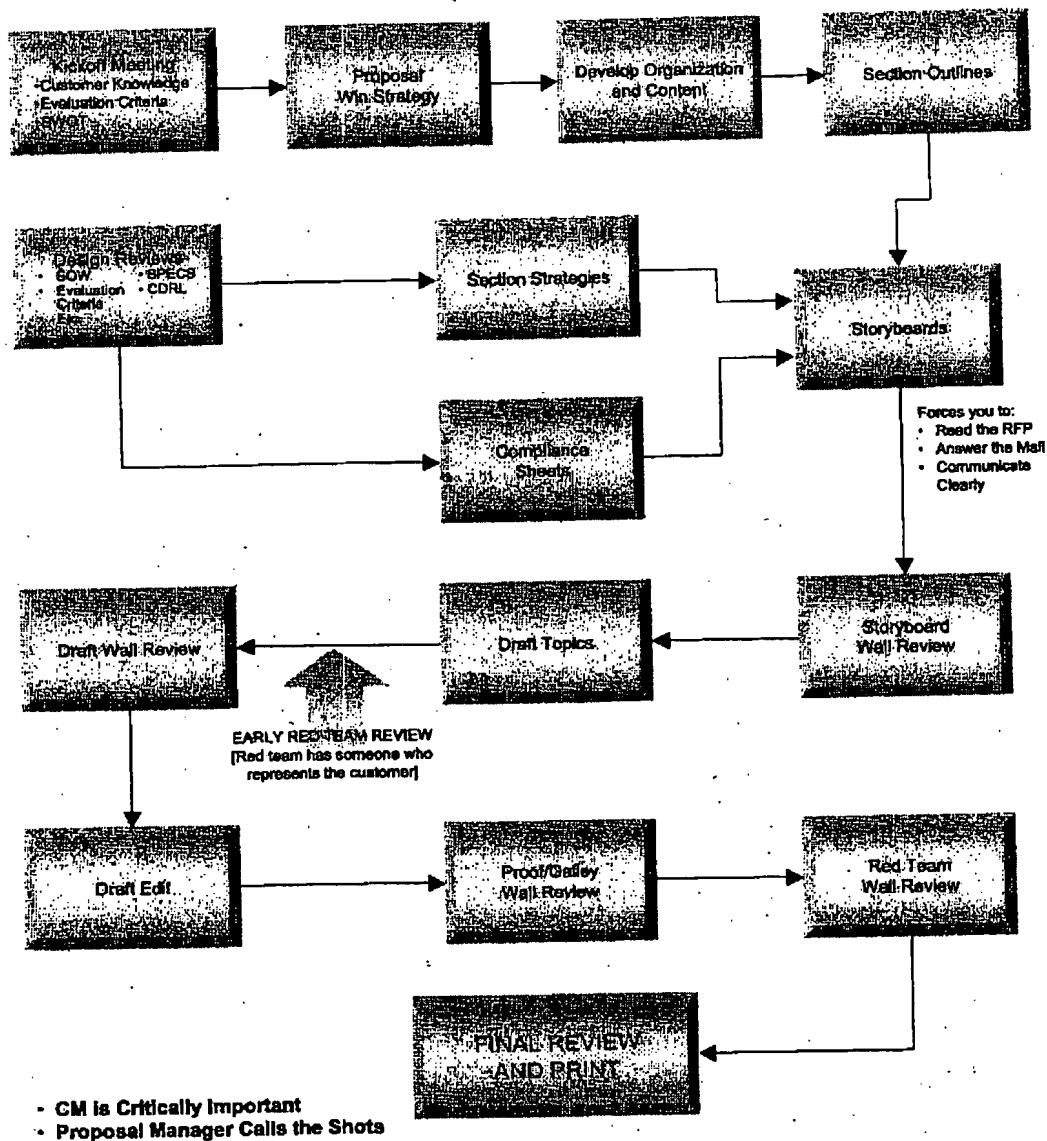


Figure 3. Modular Proposal Data Flow Diagram

STEP 5. SUBMITTAL

Step 5 involves the decision to submit the proposal. If the proposal is not submitted, the database is amended with the appropriate information and feedback is

provided to the team. If the proposal is submitted, a presentation is prepared for the customer. At this time, negotiations can begin on the work contained in the proposal.

STEP 6. SUCCESS

The success of the proposal is addressed in Step 6. If the proposal is not successful, a post-review is conducted with the team and the customer. If the customer is not available, the proposal leader should bring comments from the customer, addressing the rationale for rejection of the proposal. This information is also entered in the database.

STEP 7: EXECUTE

If the proposal is successful, the final step, Step 7, is to execute the work. The execution of the work is the responsibility of the division.

THE TOOLS

There are four tools used in the business development process, as depicted in table 4.

Table 4. Business Development Process Tools

Number	Name	Description
1	Opportunity Analysis	Determines whether an idea is either an idea or an opportunity
2	Risk/Reward Assessment	Identifies the risk and the reward of an opportunity
3	Code 31B Task Sheet	Used by Code 31B to request support from within the divisions
4	Capture Plan	Provides a plan for proposal development, POCs, Return on Investment, and Action Items

SUMMARY

The Surface Undersea Warfare Department (Code 31) at NUWC Division Newport has adopted a standard process for all new business development in the department that injects new thinking into the idea of business development. This process can be both exciting and rewarding to execute. The process allows innovators to pursue ideas, and determine the opportunities that have presented themselves. This promotes more innovation, as engineers can better understand where their ideas go and how they are developed. The process assesses the risks and rewards, compares that assessment to a baseline of proven successful opportunities, and helps determine the next step. This invites more effective strategic planning, commitment of resources, and overall planning.

BIBLIOGRAPHY

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"Entrepreneurship and Intrepreneurship: How to Recognize, Manage, and Exploit Business Opportunities," Boston, MA, 2000.

Kramer, M., "Small Business Turnaround," Adams Media Corp., Holbrook, MA, 2000.

"Strategic Marketing and Sales Strategies For Sustained Revenue Growth: Increase Your Organization's Ability to Capture More Business," Strategic Marketing & Analysis, Inc., Arlington, VA, 2000.

APPENDIX A

**OPPORTUNITY ANALYSIS AND RISK/REWARD
COVERSHEET AND WORKSHEETS**

A-1



Strategic Planning and Development Office



Idea Name: _____

Originator: _____

Brief Description: _____

External Team Members: _____

Step 1: Opportunity Analysis [originator]

(1)

	High Attractive	Low Attractive
Market	<input type="text" value="0"/> Significant Capability	<input type="text" value="0"/> Incremental Improvement
Economics	<input type="text" value="0"/> Loose Constraints	<input type="text" value="0"/> Strict Constraints
Competitive Advantage	<input type="text" value="0"/> Significant	<input type="text" value="0"/> Not Evident
Team	<input type="text" value="0"/> NUWC Core	<input type="text" value="0"/> Evident Weakness
Potential Flaws	<input type="text" value="0"/> None / Mitigated	<input type="text" value="0"/> One or More
Overall:	<input type="text" value="0"/> Opportunity (Proceed to Step 2)	<input type="text" value="0"/> Idea Needs More Work To Become Opportunity

Step 2: Risk/Reward Assessment [originator]

(2)

Rewards	Risks
<input type="text" value="0"/> Sustains/Grows Core Equity	<input type="text" value="0"/> New Product
<input type="text" value="0"/> Address Critical Need	<input type="text" value="0"/> New Customer
<input type="text" value="0"/> New Business Development	<input type="text" value="0"/> Cooperative Existing Customer
<input type="text" value="0"/> Competitive Advantage	<input type="text" value="0"/> Team
<input type="text" value="0"/> Increase Market Share	<input type="text" value="0"/> Time To Meet Milestones/Deliverables
<input type="text" value="0"/> Increase Professional Reputation	<input type="text" value="0"/> Funding Limited
	<input type="text" value="0"/> Customer Pain
	<input type="text" value="0"/> Internal Processes
<input type="text" value="0.78"/> Benchmark	<input type="text" value="0.020"/> Benchmark
<input type="text" value="0.00"/> Reward Assessment	<input type="text" value="0.000"/> Risk Assessment

Step 3: Final Assessment [Code 31B]

GO

NO GO

MAYBE

STRATEGY: _____

Code 31B Signature: _____

Date: _____

Opportunity Analysis: Market (Step 1a)

Enter a 1 where appropriate, leave blank if un-sure

Criteria	High Attractive	Assessment	Low Attractive	Assessment
Market:	Market-driven		Unfocused	
Customers	Reachable		Loyal to others	
User Benefits	<1 year payback		>3 year payback	
Value Added	High		Minimal impact	
Product Life	Durable		Perishable	
Timing	With the tide		Against the tide	
Market Structure:	Imperfect, emerging		Concentrated, declining	
Funding Potential:	>\$750K		<\$500K	
Potential Market Share:	Leader, >20%		<5%	
Industry and Market	Significant Capability	0	Incremental Improvement	0

Opportunity Analysis: Economics (Step 1b)

Enter a 1 where appropriate, leave blank if un-sure

Criteria	High Attractive	Assessment	Low Attractive	Assessment
Time to Break-Even:	<2 years		>4 years	
ROI Potential:	>25%		<15%	
Capital Requirements:	Low to Moderate		High	
Impact on Staffing:	Increase staffing, >2 WY		None	
Room for error:	Forgiving		None	
Funding Structure:	Multi-Year		Single-Year	
Economics	Loose Constraints	0	Strict Constraints	0

Opportunity Analysis: Competitive Advantage (Step 1c)

Enter a 1 where appropriate, leave blank if un-sure

Criteria	High Attractive	Assessment	Low Attractive	Assessment
Fixed and Variable Costs:	Lowest		Highest	
Control over Costs, Prices, and Distribution:	Strong		Weak	
Barriers to Entry:	Low to Moderate		High	
Proprietary Protection	Have or can gain		No Access	
Lead Time	Significant		Aggressive competition	
Legal, Contractual	Proprietary or exclusivity		None	
Contacts, Networks	Well Developed		Limited	
Key people	Top talent		Unimpressive team	
WFPP	Executable		Non-executable	
FMS	Approvable		Non-approvable	
MOU	Executable		Non-executable	
Technology/Concept:	Superior, groundbreaking		Substitutes available	
Competitive Advantage	Significant	0	Not evident	0

Opportunity Analysis: Team (Step 1d)

Enter a 1 where appropriate, leave blank if un-sure

Criteria	High Attractive	Assessment	Low Attractive	Assessment
Entrepreneurial Team:	Visionary, radiates competence; listens		Weak	
Industry or Technical Experience:	Top		Weak	
Integrity:	Highest Standards		Questionable	
Intellectual Honesty:	Know what they don't know, and listen well		Does NOT listen	
Stress Tolerance:	Thrives with pressure		Low	
Management team	NUWC Core	0	Evident weakness	0

Opportunity Analysis: Potential Flaw (Step 1e)

Enter a 1 where appropriate, leave blank if un-sure

Criteria	Potential Attractiveness		Potential Flaw	
		Assessment		Assessment
Real customer	Yes		No	
Under Promise-Over deliver	Yes		No	
Right corporate culture	Yes		No	
Appropriate Team (Motivated, Correct skills)	Yes		No	
Is Market Correct?	Yes		No	
Confident	Yes		No	
Engineering of Product	Fine		Over engineering	
Stress test properly	Yes		No	
Good sub suppliers	Yes		No	
Trying to do too much	No		Yes	
Experienced Team	Yes		No	
Right location	Yes		No	
Price in line with competition	Yes		No	
Market window	Open		Closed	
Competition	None		Large competitor in our space	
Authority to act given to team	Yes		No	
Within Code of Federal Regulations	Yes		No	
Fixed Price contractually	Yes		No	
funding prior to work start up	Yes		No	
Resources Available	Yes		No	
Fatal Flaws	None / Mitigated	0	One or more	0

Risk and Reward Assessment: Tool (2)

RISK ASSESSMENT

Enter either a 1 (no risk), a 0 (high risk), or a number between 0 and 1 where you assess risk to be

Risk Factor	Benchmark	
New Product	0.7	0
New Customer	0.1	0
Cooperative Existing Customer	1	0
Team	1	0
Time to Meet Milestones/Deliverables	0.9	0
Funding Limited	0.5	0
Customer Pain	0.7	0
Internal Process	0.9	0
Total Risk	0.02	0.00

Calculated Risk: Tough

Risk Assessment
0-.002 = Too High Risk. Do not do it.
.002-.02 = High Risk. Talk To Customer
.02-0.2 = Tough, but Doable.
.2-1.0 = Low Risk. Go For It.

REWARD ASSESSMENT

Enter either 1 (Low reward), 2 (Moderate reward), or 3 (high reward)

Reward Factor	Benchmark	
Sustains/Grows Core Equity	3	
Address Critical Need	2	
New Business Development	3	
Competitive Advantage	1	
Increase Market Share	1	
Increase Professional Reputation	2	
Total Reward	0.78	0.00

Calculated Reward: Moderate

Reward Assessment
0.3 to 0.55 = Low
0.55 to 0.80 = Moderate
0.80 to 1.00 = High

APPENDIX B
CODE 31B TASK SHEET

B-1



Strategic Planning and Development Office



31B Task Sheet: Tool (3) Request for Support to Divisions

I.	Code 31B Point of Contact		Date of Request	
	Phone Number	Fax Number		
	E-Mail Address			
II.	Support Title			
III.	Logged into 31B Action Item Database		Log-in Date	
IV.	Request to:			

31Bs Action
☐ Log into 31B Action Database
☐ Copy for 31B Task Book
☐ Send Copy to Requestee
☐ Send Copy to Requestor
☐ Provide Copy of Opportunity Analysts and Risk/Reward Assessment
☐ Notify 31B POC upon Completion of above

 Initial: _____ Date: _____

Description of Request:

V. Additional Information and

Job Order Number	Can Be Used For	Work Weeks.
VI. Request Due Date To Code 31B POC:		

Business Sensitive

B-2

APPENDIX C
CAPTURE PLAN

C-1

Proposal Capture Plan

Opportunity Name: _____

Date: _____

Point of Contact: _____

The Buyer's Need

(A short, succinct description of what the buyer needs)

Notes:

- ① Projection of each viewgraph keeps everyone informed and involved and provides a central point for action items.
- ② Use different colored pen for action items.

The Buyers	
Economic/Strategic Buyer (Final approval to spend money)	User Buyer (Will be the primary funder of our offering)
Technical/System Buyer (Checks our offering to ensure it is technically correct and/or meets specifications)	Coach (Someone in their organization who wants us to succeed)

The Internal Capture Team	
(The handful of people in our organization who get together to brainstorm the opportunity and apply the Step-by-Step Strategy to the opportunity)	
1. 2. 3. 4. 5.	Notes: ⓐ Usually 4 to 7 people ⓑ Members represent a cross section of people from all departments (e.g. operations, marketing and management.) ⓒ Need some managers in order to assign action items to people ⓓ Top management usually does not participate in the sessions, but is briefed on the result ⓔ People from other areas in the organization can provide out-of-the-box thinking

Information Required About the Need

What information do we need to get?	How are we going to get it?	Action person assigned

Information Required About the Buyers

(What do we want to know about the buyers to make an opening statement in the first 18 to 39 seconds?)

What information about the buyers do we want to get?	How are we going to get it?	Action person assigned

Information Required About the Money Available

What information do we need to get?	How are we going to get it?	Action person assigned

Information Required on the Competition

Likely competitors	What information do we need to get?	How are we going to get it?	Action person assigned
1.			
2.			
3.			
4.			
5.			
6.			

Assessing the Competition

The Top Competitors	Strengths	Weaknesses
1.		
2.		
3.		

Notes: • Provides info on other organizations in case we need to team up to get the "killer argument."
 • Provides info on competitor weakness. Useful in "ghosting" the competition.

Internal Investment Required

(What will it cost us to close this opportunity?)

- | | |
|---|----------|
| 1. Cost of people working on overhead supporting the marketing effort | \$ _____ |
| 2. Travel costs | \$ _____ |
| 3. Cost to provide free on-site people at the customer's site | \$ _____ |
| 4. Internal Research and Development costs, e.g. | \$ _____ |
| a. Software development | |
| b. Prototype costs | |
| c. Cost of demonstrations | |
| 5. Cost to write the proposal | \$ _____ |
| 6. Other costs | \$ _____ |
| Total cost | \$ _____ |

Internal Return-on-Investment (ROI)

1. Expected revenue in first two years of funding \$ _____
2. Anticipated profitability _____%
3. Internal investment required (from previous viewgraph) \$ _____
4. Internal ROI $\left(\frac{\#1}{\#3} \right)$ _____

Our Response to the Need

(What are we going to offer the buyer that will satisfy part or all of the need?)

What is Our "Killer Argument"?

- How can we show the buyer that we have satisfied the exact same need for similar buyers in the recent or past. List examples.
- OR
- If we cannot show this, what can we do to reduce the risk in the buyer's mind?
 - 1.) What have we done that relates?
 - 2.) What other organizations can we team up with?
 - 3.) How can we use the experience of our vendors, suppliers, subcontractors and consultants?

What are Our Key and Ghosting Discriminators?

(What's unique and superior about our offering?)
(What can we use to "ghost" the competition? How can we counter the competitors' weaknesses?)

Key Discriminators

- 1.
- 2.
- 3.
- 4.

"Ghosting" Discriminators

- 1.
- 2.
- 3.
- 4.

Return on Investment Analysis

(How quickly will our solution pay for itself? Or reduce or avoid costs?)
(Why should the economic buyer fund this solution?)

ROI Analysis	Data Needed	Action Person Assigned

The Team

(What team do we need in order to have a "killer argument"?
(Are there any strategic or political considerations?)

Potential Teammate

Rationale

Who Is the Lead Salesperson(s) for Each Buyer**Economic/Strategic Buyer**
(Final approval to spend money)**User Buyer**
(Will be the primary funder of our offering)**Technical/System Buyer**
(Checks our offering to ensure it is technically correct and/or meets specifications)**Notes**Match up sellers and buyers based on:
- Personality types (Match or mirror)
- Seniority level in the organization
- Level of technical knowledge**What is Our Pre-Selling Contact Plan?**

(Who do we need to pre-brief?)

- Line up coaches
- Convince following people in our organization:
 - 1.
 - 2.
 - 3.
 - 4.
- Convince the following people who influence the buyers:
 - 1.
 - 2.
 - 3.
 - 4.

Potential Questions and Objections and Our Responses

Question/Objection	Response	Action Needed	Action Person Assigned

Several Appropriate Closing Proposal Approaches

(Of the top 10 closing proposal approaches in use in the U.S. today, which ones are most appropriate to this buyer/opportunity? How would we use them?)

Elements of Our Presentation

(What will be the elements of a presentation if we have to give one, or if we need to leave info with the user buyer to influence the economic/strategic buyer?)